

**INTERNAL FR  
UNIFORM DISCLOSURE FORM FOR SUPERVISION AND REGULATION PERSONNEL  
FEDERAL RESERVE BANK**

Name (Last, First, Middle Initial)	Social Security #	Position/Title	Office/Branch	Department	Extension
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Federal Reserve examiners are prohibited, by criminal statute, from borrowing from banks that they examine, and by Federal Reserve policy, from borrowing from institutions for which the Federal Reserve is the primary federal regulator. All Federal Reserve employees are prohibited from holding certain types of investments in financial organizations, and employees generally must not participate in matters concerning organizations in which they, a spouse, or dependent child have a financial interest. This form is designed to obtain information that might indicate an actual or potential conflict of interest or a violation of Bank or System policy. Entries on the form should be typed or written in ink; do not use pencil.

Part 1. **INDEBTEDNESS:** List any existing debt or credit relationship that you, your spouse or dependent child have with a bank, bank holding company, bank or bank holding company affiliate, other financial institution, or any entity or person with whom you conduct business on behalf of the Bank. Include contingent liabilities (e.g., as guarantor), and debts of any company in which you, your spouse or dependent child own or control more than 10% of the equity, and any partnership in which you, your spouse or dependent child serve as a general partner. Include any unused line of credit or overdraft facility, and a bank credit card even if it has a zero balance. Identify any debt listed on your last disclosure form that has since been paid in full and show the repayment date. Report debt of a spouse, dependent child or related entity to the best of your knowledge. If none, write NONE or N/A.

Name of Creditor (List complete name, for example, MultiBank, N.A. or Texbank Mortgage Corporation)	Location (City, State)	Debtor Code <sup>2</sup>	Date Incurred <sup>1</sup>	Nature or Purpose of Debt <sup>3</sup>	Term <sup>4</sup>	Maturity/ Date of Repayment	Administrative Use:		
							ID-RSSD	Permit (Y/N)	Required Divestiture Date

<sup>1</sup> List only information that has changed since you filed your last form - do not restate information previously provided that has not changed.

<sup>2</sup> Debtor Codes: E - Employee; S - Employee's Spouse; D - Dependent Child; P - Partnership; O - Other (Describe)

<sup>3</sup> Purpose Codes: A - Auto Loan; C - Credit Card; M - Mortgage on personal residence; O - Overdraft protection; H - Home equity line; S - Student loan; P - Personal Loan or other line of credit; B - Business loan or line of credit (including mortgage incurred for business purposes)

<sup>4</sup> Terms Codes: A-Amortizing Loan (scheduled payments of principal and interest); T - Term Loan (nonamortizing, principal due at maturity); B - Balloon (with amortizing and term features); R - Revolving Credit; O - Other (Describe)

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Employee Name (Last, First, Middle Initial)

Part II. **ASSETS:** List for you, your spouse and dependent children any direct or indirect equity or debt interest (including as a trustee or beneficiary of a trust), regardless of amount, in a domestic or foreign depository institution, its holding company (bank or thrift) or a nonbank affiliate, a company that owns a bank, or any entity or person with whom you conduct business on behalf of the Bank. Also list any interest that arises from participation by you or your spouse in a pension, retirement fund, or similar retirement plan with a current or former employer, and any shares of a mutual or closed-end fund that has a stated policy of concentration in the financial services industry. *[Exclude Federal Reserve retirement or thrift plan investments.]* If none, write NONE or N/A.

Name of Organization and Location (City, State)	Ownership Codes <sup>5</sup>	Nature of Financial Interest (e.g. common stock, debentures, note receivable)	Date of Acquisition	Manner of Acquisition (e.g., gift, inheritance, purchase)	Administrative Use:		
					ID-RSSD	Permitted to Hold (Y/N)	Required Divestiture Date

Part III. **OUTSIDE AND PRIOR EMPLOYMENT:** List any position held, whether compensated or not, with an organization (corporation, company, firm, business enterprise, partnership, non-profit organization educational institution or other organization) in which you serve as an employee, officer, owner, director, member, trustee, partner, adviser or consultant. Describe your position in each such organization, including current positions and any held during the last 12 months. List any such position held by your spouse, child, parent or sibling with any entity with which you conduct business on behalf of the Bank (Exclude positions with religious, social, fraternal or political entities, and those solely of an honorary nature.) If none, write NONE or N/A.

Name of Organization and Location (City, State)	Nature or Purpose of Organization	Position Held	Dates Held, if known	Administrative Use:		
				ID-RSSD	Approved (Y/N)	Comments

Part IV. **RELATIVES IN BANKING:** List any immediate family member (spouse, child, parent or sibling) who is an officer, director or employee of a depository institution or affiliate thereof, or a depository institution holding company. If none, write NONE or N/A.

Name of Individual	Relationship to Employee	Name of Organization and Location (City, State)	Position Held	Administrative Use:	
				ID-RSSD	Recusal Required (Y/N)

<sup>5</sup> Ownership Codes: E - Employee; S - Employee's Spouse; D - Dependent Child; P - Partnership; O - Other (Describe)

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Employee Name (Last, First, Middle Initial)

Part V. GIFTS: To the extent not previously reported in writing, report the source, a brief description, and the value of any of the following received by you, your spouse or a dependent child: (1) any single gift having a value of \$50 or more from one Covered Source<sup>6</sup>; (2) any other gifts totaling \$50 or more in value from one Covered Source *[Exclude gifts from relatives.]* If none, write NONE or N/A.

Name of Covered Source and Location (City, State)	Brief Description of Gift	Value	Administrative Use:		
			ID-RSSD	Date Receive	Comments

Part VI. OTHER SITUATIONS: Identify any other relationship or circumstances that you believe might constitute an actual or apparent conflict of interest, or violation of law or Bank policy. If none, write NONE or N/A.

Name of Institution and Location (City, State)	Describe Nature of Relationship or Circumstances	Administrative Use:	
		ID-RSSD	Recusal Required (Y/N)

**Part VII.** SPACE FOR REPORTING ADDITIONAL ITEMS OR EXPLANATORY NOTES: [if space provided is insufficient, attach add'l pages]:

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I certify that the information I have provided on this form and on any attached page(s) is true, complete and correct to the best of my knowledge.  
I understand that it is my responsibility to report any change that occurs after this reporting period promptly after I learn of the change.  
I further understand that I am not permitted to work on any matter involving an institution or an affiliate that I have identified on this form unless permitted under System policy or authorized by means of a waiver.  
Unless otherwise noted, my signature below affirms that the debt(s) disclosed in Part I was not obtained on terms more favorable than available to the public (i.e., the debt was not offered or enhanced because of my position at the Bank).

\_\_\_\_\_  
Reviewed By (Initials/Date)

\_\_\_\_\_  
Reviewed By (Initials/Date)

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Ethics Officer (Initials/Date)

<sup>6</sup> Covered Source is a person or entity that (1) does, or seeks to do, business with the Bank; (2) is supervised by the Federal Reserve System; or (3) has interests that are substantially affected by the employee's duties at the Bank. Additionally, an organization, a majority of whose members are Covered Sources, is also considered a Covered Source.